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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/802,658	03/17/2004	Leo Martin Baschy	UIDAC-U-1	2674
34640	7590	06/10/2009	EXAMINER	
LEO M BASCHY			PHAM, LINH K	
POBOX 129			ART UNIT	PAPER NUMBER
COPPEROPOLIS, CA 95228			2174	
			NOTIFICATION DATE	DELIVERY MODE
			06/10/2009	ELECTRONIC

**Please find below and/or attached an Office communication concerning this application or proceeding.**

The time period for reply, if any, is set in the attached communication.

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<b>Office Action Summary</b>	<b>Application No.</b> 10/802,658	<b>Applicant(s)</b> BASCHY, LEO MARTIN	
	<b>Examiner</b> LINH K. PHAM	<b>Art Unit</b> 2174	

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 28 March 2009.
- 2a) ☒ This action is **FINAL**.                      2b) ☐ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-12, 28-34 and 36-43 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-12, 28-34, and 36-43 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☒ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All    b) ☐ Some \*    c) ☐ None of:
1. ☐ Certified copies of the priority documents have been received.
  2. ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- |                                                                                      |                                                                   |
|--------------------------------------------------------------------------------------|-------------------------------------------------------------------|
| 1) <input checked="" type="checkbox"/> Notice of References Cited (PTO-892)          | 4) <input type="checkbox"/> Interview Summary (PTO-413)           |
| 2) <input type="checkbox"/> Notice of Draftsperson's Patent Drawing Review (PTO-948) | Paper No(s)/Mail Date. _____                                      |
| 3) <input type="checkbox"/> Information Disclosure Statement(s) (PTO/SB/08)          | 5) <input type="checkbox"/> Notice of Informal Patent Application |
| Paper No(s)/Mail Date _____                                                          | 6) <input type="checkbox"/> Other: _____                          |

### **DETAILED ACTION**

1. This Office Action is in response to the Amendment filed on 03/18/2009.
2. In the instant Amendment, Claims 13-27 and 35 were previously canceled; Claims 1-12, 28-34, and 36-43 have been amended; Claims 1 and 10 are independent claims. Claims 1-12, 28-34, and 36-43 have been examined and are pending.

**This Action is made FINAL.**

### ***Specification***

3. The disclosure is objected to because of the following informalities: The amended specification submitted on 03/18/2009 is objected to since the amended specification fails to comply with 37 CFR 1.121. See MPEP § 714 [R6]. As a result the amended specification submitted on 03/18/2009 will not be entered. Appropriate correction is required.
4. The amendment filed 03/18/2009 is objected to under 35 U.S.C. 132(a) because it introduces new matter into the disclosure. 35 U.S.C. 132(a) states that no amendment shall introduce new matter into the disclosure of the invention. The added material which is not supported by the original disclosure is as follows: “**visual display unit.**” No where does the original specification define, discuss, or suggest “*visual display unit.*” Applicant is required to cancel the new matter in the reply to this Office Action.

***Claim Rejections - 35 USC § 112***

5. The following is a quotation of the first paragraph of 35 U.S.C. 112:

The specification shall contain a written description of the invention, and of the manner and process of making and using it, in such full, clear, concise, and exact terms as to enable any person skilled in the art to which it pertains, or with which it is most nearly connected, to make and use the same and shall set forth the best mode contemplated by the inventor of carrying out his invention.

6. **Claims 1-12, 28-34, and 36-43 are rejected under 35 U.S.C. 112, first paragraph**, as failing to comply with the written description requirement. The claim(s) contains subject matter which was not described in the specification in such a way as to reasonably convey to one skilled in the relevant art that the inventor(s), at the time the application was filed, had possession of the claimed invention.

**Regarding claims 1-12, 28-34, and 36-43;** claims 1-12, 28-34, and 36-43 recite the limitation “**visual display unit**,” (emphasis added); However, the limitation “*visual display unit*” is neither defined nor discussed in the specification. The Examiner respectfully requests the Applicant to point out where in the specification support can be found for the aforementioned newly added limitations. Applicant is required to cancel the new matter in the reply to this Office Action.

***Claim Rejections - 35 USC § 101***

7. 35 U.S.C. 101 reads as follows:

Whoever invents or discovers any new and useful process, machine, manufacture, or composition of matter, or any new and useful improvement thereof, may obtain a patent therefor, subject to the conditions and requirements of this title.

Art Unit: 2174

8. **Claims 1-12, 28-34, and 36-43 are rejected under 35 U.S.C. 101** because the claims are directed to non-statutory subject matter.

**Regarding claims 1 and 10;** although the preambles of the claim recite “*A visual display unit ...*,” the bodies of the claims do not positively recite any elements of hardware. The recitation “visual display unit” has not been given patentable weight because the recitation occurs in the preamble. A preamble is generally not accorded any patentable weight where it merely recites the purpose of a process or the intended use of a structure, and where the body of the claim does not depend on the preamble for completeness but, instead, the process steps or structural limitations are able to stand alone. See *In re Hirao*, 535 F.2d 67, 190 USPQ 15 (CCPA 1976) and *Kropa v. Robie*, 187 F.2d 150, 152, 88 USPQ 478, 481 (CCPA 1951). In addition to the above, in view of the Applicant’s disclosure, paragraphs [0029] and [0033]-[0041], the claimed invention is implemented by software; software does not belong to any of the four statutory categories set forth above. Therefore, the aforementioned claims are directed to non-statutory subject matter. (See *In re Bilski*, Appeal No. 2007-1130; *Diamond v. Diehr*, 450 U.S. 175, 184 (1981); *Parker v. Flook*, 473 U.S. 584, 588 n.9 (1978); *Gottschalk v. Benson*, 409 U.S. 63, 70 (1972); *Cochrane v. Deener*, 94 U.S. 780, 787-88 (1976)).

**Regarding claims 2-9, 11-12, 28-34, and 36-43,** claims 2-9, 11-12, 28-34, and 36-43 are also rejected under 35 U.S.C. 101 for the same reasons as stated above.

***Claim Rejections - 35 USC § 102***

9. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102(e) that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

10. **Claims 1-2, 4, 7-8, and 33 are rejected under 35 U.S.C. 102(b)** as being anticipated by Barkley et al., (“Barkley”, U.S. 6,202,066), issued on March 13, 2001.

**Regarding claim 1**, Barkley discloses a visual display unit which displays a graphical user interface for representing and facilitating user manipulation of persistent yet revocable access control settings for a resource (*col. 8, lines 44-55; Figs. 2-5*) comprising:

one or more display regions for graphical representations of all access control settings for the resource (*col. 10, lines 56-67; Figs. 2-5; Read, Write, Execute, and Delete permissions check-boxes are displayed on the Role/Group Permission View window*), wherein the graphical representations result from transformations applied to the structured data which defines the access control settings for the resource (*col. 10, lines 56-67 and col. 13, lines 19-60; Figs. 2, 4, and 5; as displayed on fig. 5, financial advisor user has read permission on file ‘ko.acc’ and does not have write, execute, and delete permission on the ‘ko.acc’ file*); and

one or more display regions for normal size, legibly scaled, unabridged representation of the content of the resource (*col. 13, lines 19-60; Figs. 2, 4, and 5; file name and file path are displayed on Role/Group Permission view*);

Art Unit: 2174

wherein the set of display regions for representations of the access control settings and the display region for representation of the content of the resource are concurrently visible, are concurrently operable, and appear to the operator as in an integrated graphical user interface (*col. 12, lines 50-67 to col. 13, lines 1-11; col. 13, lines 19-61; Figs. 2, 4, and 5; as displayed on fig. 5, financial advisor user has read permission on file ko.acc and does not have write, execute, and delete permission on the 'ko.acc' file*); and wherein the resource is a digital document (*Fig. 5; file 'ko.acc'*).

**Regarding claim 2**, Barkley discloses the visual display unit graphical user interface of claim 1, wherein one or more functions modify the spatial layout of the display regions for representations of the access control settings (*col. 10, lines 56-67; col. 13, lines 19-60; Figs. 2, 4, and 5; Read, Write, Execute, and Delete permissions check-boxes*).

**Regarding claim 4**, Barkley discloses the visual display unit graphical user interface of claim 1, wherein one or more functions modify the transformations that are applied to the structured data (*col. 6, lines 8-12; col. 8, lines 56-65; col. 9, lines 48-60; Figs. 3 and 5; hierarchy checkbox*).

**Regarding claim 7**, Barkley discloses the visual display unit graphical user interface of claim 1, wherein the set of display regions further comprises:

a display region for a graphical representation of the set of groups, users and roles defined by existing structured data for the resource and their respective access privileges (*col. 9, lines 8-47; col. 10, lines 56-67; col. 13, lines 19-60; Figs. 2, 4, and 5; role/group panel*); and

Art Unit: 2174

a display region for a graphical representation of the result of transforming the set of groups, users and roles and their respective access privileges into a corresponding set of individual users and their respective effective access privileges (*col. 9, lines 8-47; col. 10, lines 56-6; col. 11, lines 1-56; col. 13, lines 19-60; Figs. 2, 4, and 5; role/group permission hierarchy*).

**Regarding claim 8**, Barkley discloses the visual display unit graphical user interface of claim 1, further comprising a first display region for a graphical representation of at least one set of known users and groups, wherein the operator can designate indicia for known users and groups and visually associate the designated indicia with a second display region to change the structured data which defines the access control settings for the resource (*col. 9, lines 8-47; col. 10, lines 56-6; col. 11, lines 1-56; col. 13, lines 19-60; Figs. 2, 4, and 5; role/group permission hierarchy*).

**Regarding claim 33**, Barkley teaches the graphical user interface of claim 8, wherein the set further comprising access control settings macros and the operator can designate indicia for macros and visually associate the designated indicia with the second display region to change the structured data which defines the access control settings for the resource (*col. 10, lines 5-45; Figs. 4-5; hierarchy mode option; Role/Group Permission can be obtained through operation of a hierarchy, i.e., where one role automatically inherits the permissions of another*).



***Claim Rejections - 35 USC § 103***

11. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

12. **Claim 3 is rejected under 35 U.S.C. 103(a)** as being unpatentable over Barkley, as applied to claim 1 above, in view of Gottsacker et al., (“Gottsacker”, US 2004/0135805).

**Regarding claim 3**, Barkley discloses the visual display unit graphical user interface of claim 1.

Barkley does not explicitly disclose one or more functions modify the number of the display regions for representations of the access control settings.

However, in an analogous art, Gottsacker discloses a document composition system, wherein one or more functions modify the number of the display regions for representations of the access control settings (*Gottsacker: par. 0016; system administrators are able to customize the appearance of the GUI*).

Therefore, it would have been obvious to an artisan at the time invention were made to combine the teachings of Gottsacker with the method of Barkley to provide users with a mean for allowing system administrator to customize the appearance of the GUI (*Gottsacker: par. 0016*).

Art Unit: 2174

13. **Claims 5, 34, 36, and 38 are rejected under 35 U.S.C. 103(a)** as being unpatentable over Barkley, as applied to claim 1 above, in view of Lee et al., (“Lee”, US 2004/0117194).

**Regarding claim 5**, Barkley discloses the visual display unit graphical user interface of claim 1.

Barkley does not explicitly disclose a user is graphically represented by a display element comprising, at least in part, a likeness of the user.

However, in an analogous art, Lee discloses a network conferencing system, wherein a user is graphically represented by a display element comprising, at least in part, a likeness of the user (*par. 0017; Figs. 4A, 12, 14, and 18; attendance icons*).

Therefore, it would have been obvious to an artisan at the time invention were made to combine the teachings of Lee with the method of Barkley to provide users with a mean for displaying attendance icon within a network conference (*Lee: par. 0017*).

**Regarding claim 34**, claim 34 is similar in scope to claim 5, and is therefore rejected under similar rationale.

**Regarding claim 36**, claim 36 is similar in scope to claim 5, and is therefore rejected under similar rationale.

**Regarding claim 38**, claim 38 is similar in scope to claim 5, and is therefore rejected under similar rationale.

14. **Claims 6, 37, and 39 are rejected under 35 U.S.C. 103(a)** as being unpatentable over Barkley and Lee, as applied to claims 1, 36, 38 above, in view of Steinberg (US 2002/0141639).

Art Unit: 2174

**Regarding claim 6**, Barkley teaches the visual display unit of claim 5, but not explicitly disclose adjusting image color saturation toward a predetermined target saturation level; converting to grayscale; adjusting image brightness toward a predetermined target brightness level; adjusting image contrast toward a predetermined target contrast level; adjusting image sharpness toward a predetermined target sharpness level; and masking with a shape selected from a set comprising ovals and outlines of a bust.

However, Steinberg teaches a method for automated image correction for digital image acquisition wherein adjusting image color saturation toward a predetermined target saturation level (*Steinberg: para. 0004; paras. 0015-0016*);

converting to grayscale (*Steinberg: para. 0011*);

adjusting image brightness toward a predetermined target brightness level (*Steinberg: paras. 0012-0014*);

adjusting image contrast toward a predetermined target contrast level (*Steinberg: paras. 0012-0014*);

adjusting image sharpness toward a predetermined target sharpness level (*Steinberg: para. 0031*); and

masking with a shape selected from a set comprising ovals and outlines of a bust (*Steinberg: para. 0031*).

Therefore, it would have been obvious to an artisan at the time invention were made to combine the teachings of Steinberg with the method of Barkley and \* in order to provide automated color correction for differenced between the reference colors in a color chart and adjust for brightness and optimum contrast (*Steinberg: para. 0014*).

Art Unit: 2174

**Regarding claim 37**, Barkley teaches the visual display unit of claim 36, but does not explicitly disclose the likeness comprises, at least in part, a digital photograph, processed by a method including at least one step selected from the set of: adjusting image color saturation toward a predetermined target saturation level; converting to grayscale; adjusting image brightness toward a predetermined target brightness level; adjusting image contrast toward a predetermined target contrast level; adjusting image sharpness toward a predetermined target sharpness level; and masking with a shape selected from a set comprising ovals and outlines of a bust.

However, Steinberg teaches a method for automated image correction for digital image acquisition wherein the likeness comprises, at least in part, a digital photograph (*Steinberg: para. 0001; method for transforming the colors in a digital image to a color corrected digital image*), processed by a method including at least one step selected from the set of:

adjusting image color saturation toward a predetermined target saturation level (*Steinberg: para. 0004; paras. 0015-0016*);

converting to grayscale (*Steinberg: para. 0011*);

adjusting image brightness toward a predetermined target brightness level (*Steinberg: paras. 0012-0014*);

adjusting image contrast toward a predetermined target contrast level (*Steinberg: paras. 0012-0014*);

adjusting image sharpness toward a predetermined target sharpness level (*Steinberg: para. 0031*) and

Art Unit: 2174

masking with a shape selected from a set comprising ovals and outlines of a bust  
(*Steinberg: para. 0044*).

Therefore, it would have been obvious to an artisan at the time invention were made to combine the teachings of Steinberg with the method of Barkley in order to provide automated color correction for differenced between the reference colors in a color chart and adjust for brightness and optimum contrast (*Steinberg: para. 0014*).

**Regarding claim 39**, claim 39 is similar in scope to claim 37, and is therefor rejected under similar rationale.

15. **Claims 9 and 43 are rejected under 35 U.S.C. 103(a)** as being unpatentable over Barkley as applied to claim 1 above, in view of Bhetanabhotla et al., (“Bhetanabhotla”, US 2002/0167538).

**Regarding claim 9**, Barkley teaches the graphical user interface of claim 8, but does not explicitly disclose the first display region is reduced in size until activated by the user, and the first display region is increased in size upon activation.

However, Bhetanabhotla teaches a method comprising flexible organization of information using multiple hierarchical categories (*Bhetanabhotla: paras. 0106-0109; Fig. 1; categories 110 contains the category hierarchies used for categorization of the information items are displayed*) wherein the first display region is reduced in size until activated by the user, and the first display region is increased in size upon activation (*Bhetanabhotla: para. 0066; Fig. 1; the information item is displayed on the area content 130*).

Therefore, it would have been obvious to an artisan at the time invention was made to combine the teachings of Bhetanabhotla with the method of Barkley in order to provide users with a means to share information right from out of one's computer system while enforcing permissions and monitoring activities (*Bhetanabhotla: para. 0031*).

**Regarding claim 43**, Barkley teaches the graphical user interface of claim 38, but does not explicitly disclose the first display region is reduced in size until activated by the user, and the first display region is increased in size upon activation.

However, Bhetanabhotla teaches a method comprising flexible organization of information using multiple hierarchical categories (*Bhetanabhotla: paras. 0106-0109; Fig. 1; categories 110 contains the category hierarchies used for categorization of the information items are displayed*) wherein the first display region is reduced in size until activated by the user, and the first display region is increased in size upon activation (*Bhetanabhotla: para. 0066; Fig. 1; the information item is displayed on the area content 130*).

Therefore, it would have been obvious to an artisan at the time invention was made to combine the teachings of Bhetanabhotla with the method of Barkley in order to provide users with a means to share information right from out of one's computer system while enforcing permissions and monitoring activities (*Bhetanabhotla: para. 0031*).

16. **Claims 10-12, 28-32, 40, and 42 are rejected under 35 U.S.C. 103(a)** as being unpatentable over Hildebrand et al., ("Hildebrand", US 2004/0103202) in view of Sekiguchi (US 6,711,687), and further in view of Hayes Jr. ("Hayes" US 6,205,476).

Art Unit: 2174

**Regarding claim 10**, Hildebrand teaches a graphical user interface for representing access log information and access control settings for a resource, wherein at least one display region contains a graphical representation of a set comprising one or more individual users, and wherein each of the individual users is graphically represented by a visual element (*paras. 0108-0109; Fig. 2D; AmdGrp GUI 275*) which comprises:

the identity of the individual user having read privilege for the resource (*para. 0102; Figs. 2C.1 and 2D; user A has read permission to the document; see also para. 0135 and Fig. 5B.1*); and

a differing visual element for indicating if the user has write privilege for the resource (*paras. 0108-0109 and 0138; Figs. 2D and 5B.1; users can be assigned to different access privileges; such as user A may be an executive or a branch supervisor who has all the access privileges to any secured documents, user B has limited access privileges while everyone in user group C shares the same access privileges*); and one or more of the following visual elements (*paras. 0102 and 0108-0109; Figs. 2C.1 and 2D; user D has read and write permissions to the document; see also para. 0135 and Fig. 5B.1*):

Hildebrand teaches all limitations as recited above, but does not disclose representation of the time of the most recent read access by the user to the resource; representation of the time of the most recent write access by the user to the resource; indication whether the most recent write access by the user to the resource is the most recent write access by any user to the resource; indication whether the most recent read access by the user to the resource has been before the most recent write access by any user to the resource; indication whether the most recent read

Art Unit: 2174

access by the user to the resource has been since the most recent write access by any user to the resource; and indication whether the user currently is without read privilege for the resource; and

However, Sekiguchi teaches a security monitoring apparatus based on access log wherein representation of the time of the most recent read access by the user to the resource (*Sekiguchi: col. 5, lines 14-55; the security management unit 112 executes statistical process of the access log 201 to obtain security management information 203 which includes the most recent access to the document; Figs. 3-5 and 7-10*);

representation of the time of the most recent write access by the user to the resource (*Sekiguchi: col. 5, lines 14-55; Figs. 3-5 and 7-10*);

indication whether the most recent write access by the user to the resource is the most recent write access by any user to the resource (*Sekiguchi: col. 5, lines 14-55; Figs. 3-5 and 7-10*);

indication whether the most recent read access by the user to the resource has been before the most recent write access by any user to the resource; indication whether the most recent read access by the user to the resource has been since the most recent write access by any user to the resource (*Sekiguchi: col. 5, lines 14-55; Figs. 3-5 and 7-10*); and

indication whether the user currently is without read privilege for the resource (*Sekiguchi: col. 4, lines 6-19 to col. 5, lines 14-55*); and wherein the resource is a digital document (*Sekiguchi: Figs. 3-5 and 7-10; Text file and Execute files are known as a digital document*).

Therefore, it would have been obvious to an artisan at the time invention was made to combine the teachings of Sekiguchi with the method of Hildebrand in order to provide a security monitoring system that performs more powerful maintenance and management of security (*Sekiguchi: col. 2, lines 6-12*).



Sekiguchi and Hildebrand teach all limitations as recited above, but do not explicitly disclose the resource is a digital document.

However, Hayes teaches a system with a network interconnecting a server and a plurality of user stations wherein the resource is a digital document (*Hayes: col. 3, lines 38-45; uses a unique identifier to access the file; which is known as a digital document, from the server; Figs. 13-22; showing one or more display regions; such as a content of resource is displayed on the left panel*).

Therefore, it would have been obvious to an artisan at the time invention was made to combine the teachings of Hayes with the graphical user interface of Sekiguchi and Hildebrand in order to provide users with means for allowing an administrator to configure a user application by running the application directly in the context of a user or user group, rather than in the context of the administrator and allowing administrators to configure an end user application directly by effectively running the end user application while posing as a user or as a user group. (*Hayes: col. 4, lines 25-28 and lines 53-55*).

**Regarding claim 11**, Hildebrand, Sekiguchi, and Hayes teach the graphical user interface of claim 10.

Hildebrand further teaches the set of individual users consists of: the set of users who have any access privilege at all for the resource (*Hildebrand: para. 0135; Fig. 5B.1; user A has all access permissions, user B has only open and print permissions, and users in user group C have open, edit, write, and download permissions for the document*); and

the set of users who have accessed the resource in the past although they currently are without any access privilege for the resource (*Hildebrand: paras. 0073, 0102, and 0135; a*

Art Unit: 2174

*system administrator is able to change access privilege of a user at any time using administration interface 506).*

**Regarding claim 12**, Hildebrand, Sekiguchi, and Hayes teach the graphical user interface of claim 10.

Hayes further teaches a display region for a normal size, legibly scaled, unabridged representation of the content of the resource (*Hayes: Figs. 13-22; showing one or more display regions; such as a content of resource is displayed on the left panel*), wherein the display region for representation of the set of users and the display region for representation of the resource appear to the operator as an integrated graphical user interface (*Hayes: col. 18, lines 34-55; Fig. 15; the content of the resource is displayed on the left side pane and the applet permissions 1518; col. 20, lines 37-64; ; Fig. 20-23; the information will be displayed on the right panel of the IBM window and the administrator can create new users and modify and delete existing users, as already discussed, without being in the context of a group or subgroup*).

**Regarding claim 28**, Hildebrand, Sekiguchi, and Hayes teach the graphical user interface of claim 10.

Hildebrand further teaches the time of the most recent access by the user (*Hildebrand: paras. 0013-0016*);

Sekiguchi further teaches the time of the most recent write access by the user (*Sekiguchi: col. 5, lines 14-55; the security management unit 112 executes statistical process of the access log 201 to obtain security management information 203 which includes the most recent access to*

Art Unit: 2174

*the document*); and current privileges the user has for the resource (*Sekiguchi: col. 5, lines 14-55*).

**Regarding claim 29**, Hildebrand, Sekiguchi, and Hayes teach the graphical user interface of claim 10.

Hayes further teaches a user is graphically represented by a display element comprising, at least in part, a likeness of the user (*Hayes: col. 14, lines 10-31; Fig. 8; a desktop object uses the applet information to build a folder for the applets and to generate a window displaying the icons and the user friendly name for each applet to which the user has access; Figs. 12-24*).

**Regarding claim 30**, Hildebrand, Sekiguchi and Hayes teach the graphical user interface of claim 12.

Hildebrand further teaches the set of users who have any access privilege at all for the resource (*Hildebrand: para. 0135; Fig. 5B.1; user A has all access permissions, user B has only open and print permissions, and users in user group C have open, edit, write, and download permissions for the document*); and the set of users who have accessed the resource in the past although they currently are without any access privilege for the resource (*paras. 0073, 0102, and 0135; a system administrator is able to change access privilege of a user at any time using administration interface 506*).

**Regarding claim 31**, Hildebrand, Sekiguchi, and Hayes teach the graphical user interface of claim 12,

Sekiguchi further teaches graphical representations of users are sorted by one or more of the following attributes: the time of the most recent access by the user (*Sekiguchi: col. 5, lines 14-*

Art Unit: 2174

*55; the security management unit 112 executes statistical process of the access log 201 to obtain security management information 203 which includes the most recent access to the document);*

*the time of the most recent write access by the user (Sekiguchi: col. 5, lines 14-55); and current privileges the user has for the resource (Sekiguchi: paras. 0013-0016).*

**Regarding claim 32**, Hildebrand, Sekiguchi and Hayes teach the graphical user interface of claim 12.

Hayes further teaches a user is graphically represented by a display element comprising, at least in part, a likeness of the user (*Hayes: col. 14, lines 10-31; Fig. 8; a desktop object uses the applet information to build a folder for the applets and to generate a window displaying the icons and the user friendly name for each applet to which the user has access; Figs. 12-24*).

**Regarding claim 40**, Hildebrand, Sekiguchi, and Hayes teach the graphical user interface of claim 30.

Hayes further teaches a user is graphically represented by a display element comprising, at least in part, a likeness of the user (*Hayes: col. 14, lines 10-31; Fig. 8; a desktop object uses the applet information to build a folder for the applets and to generate a window displaying the icons and the user friendly name for each applet to which the user has access; Figs. 12-24*).

**Regarding claim 42**, Hildebrand, Sekiguchi, and Hayes teach the graphical user interface of claim 31.

Hayes further teaches a user is graphically represented by a display element comprising, at least in part, a likeness of the user (*Hayes: col. 14, lines 10-31; Fig. 8; a desktop object uses the*

Art Unit: 2174

*applet information to build a folder for the applets and to generate a window displaying the icons and the user friendly name for each applet to which the user has access; Figs. 12-24.*

17. **Claim 41 is rejected under 35 U.S.C. 103(a)** as being unpatentable over Hildebrand, Sekiguchi, and Hayes, as applied to claim 10 above, and further in view of Steinberg (US 2002/0141639).

**Regarding claim 41**, Hildebrand, Sekiguchi, and Hayes disclose the graphical user interface of claim 40, but does not explicitly disclose the likeness comprises, at least in part, a digital photograph, processed by a method including at least one step selected from the set of: adjusting image color saturation toward a predetermined target saturation level; converting to grayscale; adjusting image brightness toward a predetermined target brightness level; adjusting image contrast toward a predetermined target contrast level; adjusting image sharpness toward a predetermined target sharpness level; and masking with a shape selected from a set comprising ovals and outlines of a bust.

However, Steinberg teaches a method for automated image correction for digital image acquisition wherein the likeness comprises, at least in part, a digital photograph (*Steinberg: para. 0001; method for transforming the colors in a digital image to a color corrected digital image*), processed by a method including at least one step selected from the set of:

adjusting image color saturation toward a predetermined target saturation level (*Steinberg: para. 0004; paras. 0015-0016*); converting to grayscale (*Steinberg: para. 0011*);  
converting to grayscale (*Steinberg: para. 0011*);

Art Unit: 2174

adjusting image brightness toward a predetermined target brightness level (*Steinberg: paras. 0012-0014*);

adjusting image contrast toward a predetermined target contrast level (*Steinberg: paras. 0012-0014*);

adjusting image sharpness toward a predetermined target sharpness level (*Steinberg: para. 0031*); and

masking with a shape selected from a set comprising ovals and outlines of a bust (*Steinberg: paras. 0031 and 0044*).

Therefore, it would have been obvious to an artisan at the time invention were made to combine the teachings of Steinberg with the method of Hildebrand, Sekiguchi, and Hayes in order to provide automated color correction for differenced between the reference colors in a color chart and adjust for brightness and optimum contrast (*Steinberg: para. 0014*).

### ***Response to Arguments***

18. The rejections of claims 1-12, 28-34, and 36-43 under 35 U.S.C. § 101 are maintained as the claims are directed to non-statutory subject matter. Applicant's arguments with respect to the rejections under 35 U.S.C. § 101 have been fully considered but they are not persuasive.

#### **Applicants' arguments:**

- a. *"The claims have been amended to be directed to statutory subject matter."*

**The Examiner disagrees for the following reasons:**

Art Unit: 2174

- a. Although the preamble of the claim recites “A visual display unit,” the body of the claim does not positively recite any elements of hardware. The recitation “visual display unit” has not been given patentable weight because the recitation occurs in the preamble. A preamble is generally not accorded any patentable weight where it merely recites the purpose of a process or the intended use of a structure, and where the body of the claim does not depend on the preamble for completeness but, instead, the process steps or structural limitations are able to stand alone. See *In re Hirao*, 535 F.2d 67, 190 USPQ 15 (CCPA 1976) and *Kropa v. Robie*, 187 F.2d 150, 152, 88 USPQ 478, 481 (CCPA 1951). In addition to the above, in view of the Applicant’s disclosure, paragraphs [0029] and [0033]-[0041], the claimed invention is implemented by software; software does not belong to any of the four statutory categories set forth above. Therefore, the aforementioned claims are directed to non-statutory subject matter. (See *In re Bilski*, Appeal No. 2007-1130; *Diamond v. Diehr*, 450 U.S. 175, 184 (1981); *Parker v. Flook*, 473 U.S. 584, 588 n.9 (1978); *Gottschalk v. Benson*, 409 U.S. 63, 70 (1972); *Cochrane v. Deener*, 94 U.S. 780, 787-88 (1976)).
19. The rejections of claims 1-9, 33-34, 36-39, and 43 under 35 U.S.C. § 112, second paragraph, are withdrawn as the claims have been amended.
  20. Applicants’ arguments in the instant Amendment, filed on 03/18/2009, with respect to claims 10-12, 28-32, and 40-42, have been fully considered but they are not persuasive.

**Applicants’ arguments:**

Art Unit: 2174

- a. *“Hildebrand Fig. 2C.1 isn’t a graphical user interface, but it is a technical illustration of a data structure;” and “Hildebrand Fig. 5B.1 doesn’t show users privileges for a single, specific document... There is no hint at a user interface for a single document.”*
- b. *“Fig. 9 is called a ‘log’ but really it is a single even record.”*
- c. *“Sekiguchi (col. 5, lines 14-55; Figs. 3-5 and 7-10) fails to show claim limitations ‘indication whether the most recent write access by the user to the resource is the most recent write access by any user the to resource;’ ‘indication whether the most recent read access by the user to the resource has been before the most recent write access by any user to the resource;’ and ‘indication whether the most recent read access by the user to the resource has been since the most recent write access by any user to the resource;’ ”*
- d. *Sekiguchi fails to teach user interface showing information for one document only; “The feature upon which applicant relies ‘user interface showing information for one document only;’”*

**The Examiner disagrees for the following reasons:**

- a. Fig. 2C.1 illustrates an exemplary structure of a secured document 236 and Fig. 2D shows an exemplary graphic user interface (GUI) 275 that can be used to establish or create access rules. As described in paragraph [0135], *“who has all the access privileges to any secured documents;*” Since *“any secured documents,”* may include *“only one secured document,”* and the claim does not



Art Unit: 2174

exclude any display of other documents, therefore, Hildebrand's disclosure encompasses the claimed limitation. In addition the limitation "*for a single, specific document*" has not been given patentable weight because the recitation occurs in the preamble. A preamble is generally not accorded any patentable weight where it merely recites the purpose of a process or the intended use of a structure, and where the body of the claim does not depend on the preamble for completeness but, instead, the process steps or structural limitations are able to stand alone. See *In re Hirao*, 535 F.2d 67, 190 USPQ 15 (CCPA 1976) and *Kropa v. Robie*, 187 F.2d 150, 152, 88 USPQ 478, 481 (CCPA 1951)

- b. Although the log shows only one record, it is an "access log;" The nature of an access log would include a plurality of records; Fig. 9 just shows such an example of one record.
- c. Sekiguchi does disclose indication whether the most recent write access by the user to the resource is the most recent write access by any user the to resource (*Sekiguchi: col. 5, lines 14-55; Figs. 3-5 and 7-10*); indication whether the most recent read access by the user to the resource has been before the most recent write access by any user to the resource (*Sekiguchi: col. 5, lines 14-55; Figs. 3-5 and 7-10*); and indication whether the most recent read access by the user to the resource has been since the most recent write access by any user to the resource (*Sekiguchi: col. 4, lines 6-19 to col. 5, lines 14-55*);
- d As explained in section a) Sekiguchi discloses user interface showing information for any protected documents; in at least one scenario, a set of protected documents

Art Unit: 2174

may include one document; Therefore, Sekiguchi's disclosure encompasses claimed limitation. On the other hand, "*excluding of showing information of other document*" or "*showing information of only one document*" are not recited in the rejected claim(s). Although the claims are interpreted in light of the specification, limitations from the specification are not read into the claims. See *In re Van Geuns*, 988 F.2d 1181, 26 USPQ2d 1057 (Fed. Cir. 1993).

21. Applicant's arguments with respect to claims 1-9, 33-34, 36-39, and 43 have been considered but are moot in view of the new ground(s) of rejection.

### ***Conclusion***

22. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a).

Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

### ***Inquiries***

Any inquiry concerning this communication or earlier communications from the examiner should be directed to . whose telephone number is (571)270-3230. The examiner can normally be reached on Monday to Thursday from 7:30AM to 5:00PM (EST).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Doon Y. Chow can be reached on (571) 272-7767. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Art Unit: 2174

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

/DENNIS-DOON CHOW/  
Supervisory Patent Examiner, Art Unit 2174

June 4, 2009  
/Linh K Pham/  
Examiner, Art Unit 2174